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P/3879-26

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Edward Howorka, et al.

Date: June 29, 2001

Serial No.: not yet known

Group Art Unit: not yet assigned

Filed: June 29, 2001

Examiner: not yet assigned

For: CREDIT LIMIT STORAGE IN AN ANONYMOUS TRADING SYSTEM

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Asst. Commissioner for Patents

Washington, D.C. 20231

**PRELIMINARY AMENDMENT**

Preliminary to the examination of the above-identified application, please amend the application as follows:

**FEE CALCULATION**

No fee is required.

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

**CONTINGENT EXTENSION REQUEST**

If this communication is filed after the shortened statutory time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R. §1.136(a), to extend the time for filing a response to the outstanding Office Action by the number of months which will avoid abandonment under 37 C.F.R. §1.135. The fee under 37 C.F.R. § 1.17 should be charged to our Deposit Account No. 15-0700.

## AMENDMENTS

☒ If checked, amendments to the claims are submitted herewith.

### Claims:

Please amend claims 6, 27 and 30 pursuant to 37 C.F.R. § 1.121(c)(i) as set forth in the “clean” version attached hereto as Appendix A. Entry is respectfully requested. A version with markings to show the changes made pursuant to 37 C.F.R. § 1.121(c)(ii) is attached hereto as Appendix B.

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## REMARKS/ARGUMENT

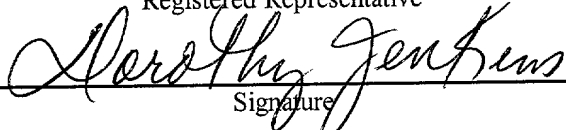
Claims are amended to eliminate multiple dependencies in claims dependent (directly or indirectly) from multiple dependent claims.

### EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL008623077US) in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231, on June 29, 2001

Dorothy Jenkins

Name of applicant, assignee or  
Registered Representative



Signature

June 29, 2001

Date of Signature

WOG:dmk

Respectfully submitted,



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**APPENDIX A**  
**“CLEAN” VERSION OF EACH PARAGRAPH/SECTION/CLAIM**  
**37 C.F.R. § 1.121(b)(ii) AND (c)(i)**

**CLAIMS (with indication of amended or new):**

Amended      6. An anonymous trading system according to claim 3 or 4, wherein the means for sending a deal proceed indicator message includes means for indicating that a deal may proceed only for a portion of the proposed amount.

Amended      27. An anonymous trading system according to any of claims 20-24, wherein the credit broker comprises means for enquiring of one or more further credit brokers if they have credit allocated to a given party where the credit broker has determined that a party has sufficient total credit for a proposed deal but that an insufficient amount of that credit has been allocated to the credit broker, and means for asking the remote credit broker or brokers to reserve the credit if it is present.

Amended      30. An anonymous trading system according to any of claims 20 to 24, wherein the credit broker comprises means for reducing the amount of a deal if there is insufficient credit with one or both of the parties for the whole deal amount but the credit available exceeds a predetermined minimum.

**APPENDIX B**  
**VERSION WITH MARKINGS TO SHOW CHANGES MADE**  
**37 C.F.R. § 1.121(b)(iii) AND (c)(ii)**

**CLAIMS:**

6. An anonymous trading system according to claim 3 or 4 [, 4 or 5], wherein the means for sending a deal proceed indicator message includes means for indicating that a deal may proceed only for a portion of the proposed amount.

27. An anonymous trading system according to any of claims 20-24 [claim 25 or 26], wherein the credit broker comprises means for enquiring of one or more further credit brokers if they have credit allocated to a given party where the credit broker has determined that a party has sufficient total credit for a proposed deal but that an insufficient amount of that credit has been allocated to the credit broker, and means for asking the remote credit broker or brokers to reserve the credit if it is present.

30. An anonymous trading system according to any of claims 20 to 24 [29], wherein the credit broker comprises means for reducing the amount of a deal if there is insufficient credit with one or both of the parties for the whole deal amount but the credit available exceeds a predetermined minimum.